

**Headquarters (HQ) U.S. Army Corps
of Engineers (USACE) and
Humphreys Engineer Center Support
Activity (HECSA)**

**Document Management System
Standard Operating Procedures**

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1. Scope

The Standard Operating Procedures (SOP) describe how the Electronic Document Management System (EDMS) is to be used within Headquarters, U.S. Army Corps of Engineers (HQ USACE) and Humphreys Engineer Center Support Activity (HECSA). This SOP is a collection of USACE standard business practice rules for electronic documents. It focuses on the processes of document life cycle management, including creation, receipt, storage, handling, and disposal. Guidance on “How to” accomplish these specific processes, is detailed in the e.POWER manuals and online Help that support EDMS. HQ USACE and HECSA business rules have been written and inserted into the appropriate phase of the document life cycle in a paperless environment. The SOP is organized by the different phases of a document life cycle.

This is a non-classified system. DO NOT enter, process, or store any classified material in EDMS.

This SOP accomplishes three purposes:

- Establish standard business rules for implementation of EDMS in HQ USACE and HECSA
- Delineate roles and responsibilities regarding document and Records Management processes within the HQ and HECSA
- Address questions and issues raised during the implementation and initial training

This SOP is a living document that will change over time as issues and business rules change. It is envisioned that this SOP will be supplemented with additional business rules and processes specific to individual Directorates and separate Offices. All written supplements shall be provided to the HQ EDMS Program Manager for inclusion in this primary SOP as a separate annex.

Recommended changes to this SOP should be forwarded to the Directorate Functional Area EDMS Administrators (FAEAs) who will forward them to the HQ EDMS Program Manager.

2. System Overview

EDMS is the platform for managing electronic documents in such a way that the information is accessible to all users. It also provides ah-hoc and procedural workflow as well as a seamless file maintenance, retention and disposal process. The integrated EDMS provides a document management component that allows document storage and retrieval from both local and remote sites. EDMS is a folder-based application where every document resides in an electronic folder.

EDMS provides the capability for interacting with remote sites where work units are distributed in different physical locations. EDMS allows access to remote EDMS sites through a feature called *Enterprise Searching*. This feature allows communication between HQ USACE and HECSA.

The system includes the following components:

- **Document Management**

Document Management is the import, export, and use of documents and folders within an electronic system during the working phase of a document prior to declaring it an Official Record.

- **Workflow**

Workflow is the electronic routing of WorkItems throughout the HQ and HECSA. There are two types of workflow available in EDMS: Ad-Hoc and Procedural. The Ad-Hoc workflow process allows the Action Officers to create Assignment Lists for a specific routing for individual Work Items. The procedural workflow process defines standard routes for regularly occurring work and is developed by the EDMS Functional Area Administrator.

- **Records Management**

Records Management is the long-term maintenance and disposal of official records. Electronic Record keeping provides life-cycle management for identification, maintenance, storage and destruction of records.

2.1 Log in Procedures

1. Users must log into the Express Desktop with the same User ID and password as the Network login ID and password.
2. The first time the EDMS repository is accessed, the Network login password is required (User ID will be populated by the system.)

When accessing the Records Management portion of EDMS, users must log in with a specific records management ID and password. Users must contact the Directorate's Records Management Coordinator for this information.

2.2 Application Security

EDMS consists of two applications, one allowing all users access to an open system where they can share information and another restricted application for users requiring a secure (but not classified) environment. Only authorized users have access to and can search for folders in the restricted application. For example, only personnel in the Counsel's Office Group have access to the restricted folder type Legal. The following Directorates have separate restricted applications:

- Human Resources
- Inspector General
- HQ Counsel
- HECSA Counsel
- PARC
- Resource Management
- HQ Equal Employment Opportunity
- HECSA Equal Employment Opportunity
- Internal Review

EDMS also provides document level security to restrict access to specific documents. This feature is available in both restricted and non-restricted applications. Information on how to secure a specific document is in the Securing Documents section of this SOP.

3. Roles and Responsibilities

This section of the SOP describes the roles and responsibilities necessary to implement and sustain EDMS within HQ USACE and HECSA. Only individuals with the required skills and training will be assigned these EDMS roles and responsibilities.

3.1 HQ EDMS Program Manager

EDMS Program Manager is responsible for all aspects of EDMS including ongoing operations, training and programming of resources for sustaining operations within HQ USACE and HECSA. Additional responsibilities include:

- Oversee succession planning for key personnel
- Approve Directorate requests for use of the restricted application
- Maintain a list of Functional Area EDMS Administrators (FAEA) for each Directorate and separate Office

3.2 HQ/HECSA Directors and Chiefs

Directors and Chiefs responsibilities include:

- Designate FAEA
- Designate Records Management Coordinators (RMC) and Records Management Coordinator Assistants (RMCA)
- Ensure office personnel use and rely on the EDMS to conduct daily business
- Ensure directorates/offices establish internal procedures for Staff Action Control Office and folder-naming standards.
- Develop internal SOPs and forward to HQ EDMS Program Manager.

3.3 HQ/HECSA Managers

HQ and HECSA Managers will manage their staff functions and supervise overall operations involving the EDMS. Manager's responsibilities include:

- Assign and review WorkItems
- Provide guidance and establish suspense dates
- Designate who, if anyone, should be included in his or her management group.
- Monitor FAEA performance.

3.4 Functional Area EDMS Administrators (FAEAs)

Each HQ Directorate and separate Office and HECSA office has an FAEA to administer EDMS within the Directorate/Office. To perform their responsibilities, FAEAs have certain privileges that regular users do not have. FAEAs responsibilities include:

- Maintain a list of active users, routing groups, branches, and divisions.
- Manage user and group permissions for EDMS folders and documents.
- Assist management with analyzing the business processes.
- Assist management with planning, recommending, and developing Workflow.
- Prepare business process maps, reports and graphs.

- Work with the EDMS System Administrator to implement EDMS changes including system upgrades, access privileges, etc.
- Report EDMS operational and management issues to the Director/Chief.
- Work with the Records Management Coordinator to resolve records issues.
- Recommend use of the restricted application when normal document restrictions are inadequate for the Directorate/Office.
- Maintain user profiles for the Directorate/Office
- Maintain a list of EDMS functional restrictions such as the Delete function.

3.5 EDMS System Administrators

The EDMS System Administrators are responsible for continuous operation of the EDMS. Specific responsibilities include:

- Perform NT system administration and maintain login/password system.
- Perform system administration tasks for e.POWER including appropriate components.
- Configure records administration system.
- Perform system backups and restorations.
- Maintain overall system integrity and operations.
- Enforce system security.
- Oversee maintenance of server hardware and communications infrastructure.
- Integrate EDMS with e-mail service.
- Install EDMS upgrades, service packs, or patch fixes and ensure EDMS compatibility with other applications.
- Maintain list of EDMS software installed on each workstation.
- Identify and report systems requirements not being satisfied by EDMS.
- Enforce HQ USACE/HECSA compliance with licensing agreements.
- Report EDMS software bugs to Universal Systems Inc.
- Train Help Desk personnel to support EDMS.

3.6 Database Administrator

The Database Administrator's responsibilities include:

- Perform database backups and restore database if needed.
- Ensure overall database integrity by working closely with the SA.

3.7 Help Desk

The Help Desk maintains the servers and client workstations and connections, similar to other HQ USACE and HECSA systems. Specific responsibilities include:

- Set up EDMS users and groups and issue logins.
- Install EDMS software on appropriate client workstations after initial installation.
- Answer user questions on how to perform functions related to EDMS just as they do for other software applications.
- Maintain and categorize user problems.
- Report EDMS user code bugs to EDMS System Administrator.

3.8 EDMS Users

All members of HQ USACE and HECSA are EDMS users. EDMS users' responsibilities include:

- Create EDMS folders and put documents into EDMS
- Name documents and folders consistent with the Directorate/Office naming conventions.
- Enter all EDMS index fields (includes MARKS number).
- Retrieve folders and documents from EDMS.
- View documents stored in EDMS.
- Route WorkItems to other EDMS users for approval, coordination, and information; includes creating the assignment list and suspense date.
- Declare documents to be official records when they are finalized/approved.
- Notify RMC to put a hold on a document (to preclude normal disposition) and identify the reason when an official record must be retained beyond its normal retention period according to MARKS.

3.9 Records Manager

The HQ USACE Records Manager (RM) is responsible for managing HQ USACE and HECSA records from creation to final disposition; regardless of media. The RM's responsibilities include:

- Administer EDMS files maintenance responsibilities and ensure compliance with OM 25-1-98, including regulations referenced therein and successor guidance.
- Consolidate Directorate/Office file plans.
- Ensure that records are filed and disposed based on these file plans.
- Manage and maintain the MARKS File Collection (listing of all MARKS numbers)
- Provide EDMS files maintenance and disposition guidance to HQ USACE offices.
- Create, add, edit, and delete record categories, files and disposition instructions and their associated codes.
- Coordinate the file destruction process report with Directorates/Offices prior to actual destruction.
- Dispose of official records.
- Transfer records to the HECSA-IM Records Holding Area and the Federal Records Center, Suitland, MD.
- Reassign disposition instructions when records are under a moratorium, litigation, or a change of disposition instructions in MARKS.
- Train Records Management Coordinators (RMC) on how to accomplish EDMS files maintenance.
- Oversee all aspects of RMC's EDMS responsibilities.

3.10 Records Management Coordinator

The Records Management Coordinators assists the HQ USACE Records Manager by managing EDMS records created within a Directorate/Office. RMC responsibilities include:

- Create and implement file plans for the Directorate/Office.
- File and retrieve records based on Directorate/Office file plans.

- Provide EDMS files maintenance and disposition guidance to Directorate/Office personnel.
- Establish Directorate/Office file collections.
- Prepare Shared Selection Lists.
- Validate proper document file classification IAW MARKS.
- Coordinate records eligible for destruction within the Directorate/Office.
- Notify RM of approval for destruction.
- Provide written justification to RM for non-destruction of scheduled documents.
- Oversee Records Management Coordinator Assistants (RMCA) EDMS responsibilities.

3.11 Records Management Coordinator Assistants

The RMCA will help the Records Management Coordinator with the duties described above.

3.12 Security Officers

The HQ USACE and HECSA Security Officers are responsible for training and enforcement to ensure that no classified information is created, processed or stored in the EDMS. They must provide and maintain alternative means to create, process, and store classified documents separate from EDMS.

4. Deciding What Documents to Enter EDMS

EDMS will contain two types of documents: Official Records and Working Documents. Individuals in HQ USACE and HECSA shall import all active working documents including e-mail, currently stored on the LAN and on the individual's hard drive, to EDMS. This task shall be accomplished as soon as possible upon fielding the EDMS to the individual's desktop.

4.1 Official Records

Official records are records that are necessary for understanding the organization, functions, policies, decisions, procedures, operations, and essential transactions of the agency. They are records that are preserved or worthy of preservation as evidence of the agency's activities, or because of their informational value. These records may include all books, papers, maps, photographs, machine-readable materials, and other documentary materials. Records can be originated by, or received by, the Agency under Federal law or in connection with the transaction of public business. A document created by an agency normally becomes an official record once it is circulated to others in the course of conducting agency business, or once it is placed in files accessible to others. A document received by an agency becomes an official record when it is received in the normal course of official business.

4.2 Working Documents

Working Documents are documents that are prepared to the extent that they will be shared with others or placed in a file and may become an official record. Working documents, in this context, are normally in electronic format.

4.3 Non-Official Records

Non-Official Records will not be entered into EDMS. The following is a non-inclusive list of non-Official Records:

- **Extra Copies**
- **Blank Forms**
- **Personal Papers**
- **Junk Mail**
- **Catalogues**
- **Brochures (except the approved original created by the Corps which is an official record)**

5. Deciding When Documents are Entered into EDMS

5.1 Working Documents

The current Local Area Network (LAN), hard drives, and public folders in Outlook are not the official repositories for documents. All unclassified electronic working documents pertaining to the organization that are active and all newly created unclassified documents will be imported into the EDMS repository as soon as possible.

5.2 Hard-copy Documents Determined to be Official Records

Paper documents created or received after the backfile conversion but prior to fielding EDMS to the individual's desktop must be scanned and converted to EDMS. If the electronic version is available, it must be imported in lieu of scanning the image. Incoming paper documents, determined to be official records, and received after fielding EDMS, will be scanned into the system as soon as possible.

5.3 Documents on the Web

Documents downloaded from the Internet and used to support a government decision will be saved and entered into EDMS as a part of an official record to reflect the information at the time the decision was made.

5.4 Copyright Restrictions

Copyrighted material requires special handling when importing and storing in EDMS. For questions or concerns regarding Copyrighted restrictions, contact the Office of Counsel.

6. Creating Folders in EDMS

EDMS is a folder-based application and every document requires a folder. In order to place a document into EDMS, users must create a new folder or use an existing folder. Folder Type and Title fields are required index fields and must be completed in order to create a folder.

6.1 Folder Overview

There is no practical limit as to how many folders may be created in EDMS. However, the more folders created the more difficult it will be to search for and find documents.

6.2 Folder Type

Folder Type is a required field. There are 21 folder types, one for each function performed by HQ USACE including a folder type for HECSA. The folder types are named similarly to the HQ Directorate or separate Office names and appear in a pick list. Users must use a folder type that represents their Directorate/Office. (See Appendix 15.1 for a listing)

6.3 Folder Title

The Folder Title field is a required alphanumeric field limited to 240 characters. Each Directorate will develop folder-naming standards to facilitate retrieval. Each folder title should have the following elements: function, project/program, or undertaking name.

6.4 Folder Suspense Date

This is an optional field to be used when the action has a required suspense date. The suspense date will reflect the date due to the last customer in the chain. This is not a required field, as all folders do not have suspense dates.

7. Entering Documents in EDMS

EDMS offers several methods for importing/entering documents. A scanner is used to enter hard-copy documents and the import function is used to enter electronic documents. Hard-copy documents will be scanned individually. All individually scanned or imported documents must be indexed immediately. The actual subject of the document must be used to populate the Subject index field of documents in EDMS. See procedures for entering documents into EDMS in the appendix section (Appendix 15.4).

7.1 Importing Electronic Documents

The import function is used to bring documents into EDMS in their native file formats. They can then be viewed in the Imagination Viewer or edited in their native applications (i.e. MS Word, MS Excel, etc.). Retrieving an imported document will automatically launch the document in the Imagination Viewer. Imagination allows the document to be viewed, manipulated, and annotated. An imported document may be edited in its native application, by “checking out” the document using the version option.

7.2 Importing E-mails

EDMS allows importing and indexing of incoming and outgoing e-mail messages and attachments that are official records. Both the message and file attachment are listed on the import e-mail screen. Both the E-mail message and its attachment(s) must be imported separately. For instructions on importing e-mails messages and attachments, please refer to the Users Manual.

7.3 Local Document Scanning

There is at least one local scanner provided to each Directorate. Users will scan short documents into EDMS using their local scanner as necessary. Each Directorate and Separate Office must establish an internal procedure on individually scanned documents for personnel to determine who, what, and when information will be scanned and indexed.

7.4 Central Document Scanning

A centralized scanning center has been established for HQ USACE. Action Officer's may request assistance from the Central Scanning Center for long documents. A completed Central Scanning Document Index Sheet (Sample attached as Appendix 15.7) along with the document to be scanned must be hand-carried to the Central Scanning Center for scanning.

7.5 Soft-Scanning

In addition to scanning hard copy documents, EDMS allows Soft-scanning. Soft-scanning enables an electronic document to be entered into EDMS as an image (TIFF). Images can be soft-scanned from any Windows-compatible application, such as MS Word or Power Point. The Import External Document window is used to soft-scan or import documents into Express and requires folder and document indexing.

8. Indexing / Retrieving EDMS Folders and Documents

Indexing is the key to retrieving folders and documents from EDMS. In order to retrieve folders or documents, search criteria can be entered under either the Folder indexing fields such as the Folder Type, Description, and Suspense Date, or Document indexing fields such as the Document Type, Subject, Author, Document ID, etc. The Folder and Document Types are listed on a drop-down menu. (Refer to Appendix 15.1 for a detail list of all Folder/Document Types). This type of searching is referred to as index searching. Index searching will compile a hit list of all items with related index information as identified in the search criteria. Therefore, consider the method of retrieving when entering documents and indexing them.

EDMS uses the standard Boolean search capability when performing index searching. The “%” sign or the “_” sign can be used to substitute for unknown characters or letters. This method of searching is referred to as wildcard searching.

EDMS also provides the full-text searching. However, documents, which are scanned into EDMS, will not have full text search capability because they exist as TIFF images and not discrete words. A full text search can be performed on any document that is in its native format (i.e., MS Word, PowerPoint, and Excel).

9. Editing Documents in EDMS

EDMS allows users to edit, revise, and secure documents as necessary. The methods of editing documents in EDMS are as follows:

9.1 Editing

Editing will be used for minor document changes such as typos, grammar, and other minor changes. In order to edit a document that is stored in EDMS, the document must be checked out using the document versioning function. The document can then be edited in its native application. The document is then checked back into the EDMS overwriting the original document.

9.2 Revisions

Revisions will be used for major document changes such as adding paragraphs, deleting paragraphs, changing recipients, and other major changes. When a new version of a document is created, the process is referred to as **Document Versioning**. To create a new version of a document the original must be checked out and edited in its native application and then checked back into EDMS and saved as another version. The checking-out process assures that only one version of the document can be worked on at a time. The system tracks the version numbers. Each new version will automatically be dated and given a sequential version number.

9.3 Layers/Annotations

The Layers/Annotations feature will only be used for editing scanned documents. The Imagination viewer is used to create a page annotation. Such annotations are saved as layers that are displayed over the document pages. Each layer created can be modified if the creator of the annotation grants other users the proper access level. All layers will be saved as part of the original document for recordkeeping purposes.

9.4 Document Referenced in Additional Folders

EDMS allows users to place a reference or link to a single document in multiple folders. When the document in one folder is updated, the referenced document in other folders is also updated. Users can retrieve and open the document from the Document List in either the original or the referenced/linked folder. The Document Hit List will have a “Yes” in the Linked column if the document is linked to another folder. All links must be deleted before deleting the document in the original folder.

9.5 Document Security

Documents entered into the non-restricted application will be available to all users. The document restriction function of EDMS can be used to restrict access on a document by document basis. However, note that the document index information, such as author and subject, is not restricted and can be viewed by anyone using the document list.

Users can restrict six functions on each document: View, Print, Fax, Clip, Delete, and Export. The following “Document Restriction Options” describes the various document restrictions that can be imposed on a single document.

Document Restriction Options

<u>Element</u>	<u>Description</u>
Do Not Allow (document and folder level)	<p><u>View</u>—Restricts users or groups from viewing the document or folder as needed for specific documents.</p> <p><u>Print</u>—Restricts users or groups from printing the document or folder for Copyright protected material.</p> <p><u>Fax</u>—Restricts users or groups from faxing documents or folders.</p> <p><u>Clip</u>—Restricts users or groups from copying clips of the document or folder</p> <p><u>Delete</u>—Restricts users or groups from deleting the document or folder</p> <p><u>Export</u>—Restricts users or groups from exporting the document or folder</p>

10. Workflow

Workflow is the process of electronically routing documents or WorkItems (folders) from one individual or group to another. The EDMS allows folders to be routed among users for action or information. Such folders will contain all pertinent documents regarding a project or subject matter. If a folder is too voluminous for routing, a sub-working folder can also be created to route specific documents as necessary. When the coordination process is completed and the specific document is finalized, that document must be moved back to the original project folder by the originator.

EDMS provides a method to track and manage WorkItems through the routing process. The tracking feature is automatic and is accessed in the “details” function of the folder. This function provides routing status information on each folder.

There are two types of Workflow: Ad-Hoc and Procedural.

10.1 Ad Hoc Workflow

Ad-Hoc Workflow is the process of routing WorkItems (folders) through a non-repetitive business process. Ad-Hoc was designed for non-routine business processes. The majority of USACE business processes will be routed using the Ad-Hoc Workflow.

Action Officers entering work items into the system will create a distribution or assignment list. The folder will then be routed to each individual on the assignment list for review, comment, coordination, or concurrence. EDMS allows for serial or parallel routing and the Action Officer makes this choice when developing the assignment list. Action Officers should use “Normal Priority” for Action-Officer initiated actions. Nevertheless, the Action Officer should designate the appropriate suspense date for the individuals on the assignment list in order to accomplish tasks in a timely fashion. Upon completion of the last action, the folder will automatically return to the originator.

10.2 Procedural Workflow

The procedural routing of a folder from one user to another, in order to process the predetermined routes from beginning to end, is referred to as Processed or Production Workflow. Due to the nature of business within HQ USACE and HECSA, this feature is not utilized. However, should a Directorate/Office define a repetitive process, the FAEA will be responsible for developing such a Workflow.

11. Staff Action Control System

EDMS replaces the existing Staff Action Control System (SACS). The Staff Action Control Office (SACO) will create a new EDMS folder for each action item received. The folder will contain a suspense date as well as any clarifying instructions. The folder is then routed to the appropriate Directorate or Office via EDMS Ad hoc routing. The original hard copy document must be retrieved from SACO by the action Directorate/Separate Office and then scanned into the EDMS folder prior to further routing.

If the staff action requires a signature from the Executive Office, the Action Officer will prepare and coordinate the response. The EDMS folder will be routed back to SACO. The final document with a decision memo (in accordance with OM 25-1-50) must be printed and delivered to the Secretary to the General Staff (SGS) in hard-copy format by the last office in the workflow chain. SACO will then either approve the final document, mark it with //s// and close the folder by declaring the final document an official record, or re-route for any necessary revisions. Once the final document is signed, the hard copy will be forwarded back to the appropriate directorate or office for mailing.

If an Executive Office signature is not required, the Action Office will perform the actions of scanning, indexing, coordinating, signing, and mailing as necessary. The Action Officer will declare the final document an official record and notify SACO that the task is complete so that SACO can close the folder.

Each Directorate or Office must establish their own internal procedures for processing actions received from the SACO and actions received internally.

12. Managing EDMS Official Records

Records Management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities involving the life cycle management of recorded information, regardless of media. Functions include creation, organization, maintenance (use, storage, retrieval), and disposal of records as well as the creation of office file plans, filing and retrieving records based on HQ USACE file plans, and reviewing and disposing of records. Records include all books, papers, maps, photographs, machine-readable materials, and other documentary materials, regardless of physical form or characteristics, made or received by HQ USACE in connection with the transaction of public business. These records represent HQ USACE mission and administrative transactions that should be filed and managed appropriately.

12.1 Declaring Official Records

Action Officers are responsible for declaring documents as official records (See para 4.1 above for additional information about an official record). The document's official date index field shall be changed to reflect the date of approval. Prior to declaring a document official, the Action Officer or the authorized user will verify the Collections Prefix and MARKS number as appropriate. The MARKS number and the official date determine the document retention period. After the document becomes an Official Record, it can no longer be modified, annotated, or checked out. However, the official record may be copied for reuse purposes to create a new document, and saved as a new official record. For step-by-step instructions on how to declare documents official, please refer to the user's manual

12.2 Disposal of Electronic Records

Disposal of electronic EDMS official records shall be done according to MARKS. The HQ USACE Records Manager is the only person authorized to dispose of official EDMS records. Directorate/separate office and Division Chiefs, or their designee, must approve the disposal list prior to disposal. The RMC will notify the Records Manager of approval for destruction. A written justification for an exception to the disposition standard for those documents that an office wishes to retain past the scheduled disposal date shall be provided to the RM via the Directorate/Office RMC.

12.3 Shared Selection Lists (Old Files Plan)

All HQ USACE and HECSA users will have the ability to assign MARKS numbers to their documents through the Records Management capability in EDMS, using the Shared Selection List (SSL). The SSL is equivalent to the old Files Plan. The SSL is used to obtain a file number when indexing a document. Each Directorate and separate Office will have two SSLs based on their file plan. One list is required for administrative records (Housekeeping) and another for mission/program files. Records Management Coordinators will create and maintain the SSLs for all Directorates and separate Offices.

13. Workflow Reports

EDMS tracks the complete history of a number of data elements for each WorkItem. Users with permissions can recall document history information such as:

- Who created the document
- Who has handled the document
- How long the document was in each in-box
- How long the document was worked on before it was released

Because EDMS automatically generates this information when a WorkItem is sent throughout the Headquarters, the Staff Action Control Office and others tracking their work items during coordination may find some of the reports particularly useful.

EDMS provides a total of nine standard reports to track the various data elements of the items in the workflow. The FAEA and System Administrators will be the primary persons to run these reports and provide feedback to their managers. The standard reports can be grouped as shown in the table below.

Grouping	Report Names	Purpose
Track a single report	WorkItem History	Track a work item (action) in coordination and document where the work item has been
Track all work items	WorkItems by Group; Users By Group; WorkItems Awaiting Manual Release	Track where all the work items are by groups & users and which are waiting action
Big picture of entire workflow	Tasks (Nodes) by Workflow & Average Task (Node) Time	Provides an overall look of how the workflow is utilized
Actual usage	Workload sorted by user; User List; & Workload sorted by device	Who is using the system and where it is being used

A brief description of these reports along with actual screen shots are shown below:

13.1 WorkItem History Report

The WorkItem History Report provides information regarding the path and action taken against each WorkItem.

Item #	Item Type	Copy #	History Record #	Node Id	Date Recvd	Release Date	State Released	Action Performed	Item Folder	Previous Node	Initial Task Id	Item Generation Type	Node Recvd Date
Inbound Documents													
		1.00	1.00	12.00	8/5/99	8/5/99	RM	New Entries In	10.00	0.00	11.00	#	
Comment:													
		1.00	2.00	11.00	8/5/99	8/5/99	to Image Clean	Clean	10.00	12.00	12.00	#	
Comment:													
		1.00	3.00	14.00	8/5/99	8/5/99	Normal	Normal Index	10.00	30.00	16.00	#	
Comment: Batch 10 processed by Clean													
		1.00	4.00	11.00	8/5/99	8/5/99	to Validate	Validate	10.00	14.00	14.00	#	
Comment:													
		1.00	5.00	8.00	8/5/99	8/5/99	to Filter	Filter Empty Entries	10.00	11.00	13.00	#	
Comment: Batch 10 processed by validate >)													
		1.00	6.00	8.00	8/5/99	8/5/99	to End Workflow	Empty Entries Out	10.00	0.00	17.00	#	
Comment: Batch 10 processed by validate >)													

13.2 WorkItems by Group Report

The WorkItems by Group Report provides an item count and average completion time for each type of task completed by each work group.

Group Name	Item Description	Item Count	Average Completion Time
C1 Admin	Sample Support App	21	60
Default Admin Grp	Sample Support App	6	60

13.3 Users by Group Report

The User by Group Report lists the names of all personnel assigned to each work group.

Group Name	User Name
C1 Admin	Doran Berrison
	James brachholz
	Jane light
	Jason nichols
Default Admin Grp	Default Admin
	Doran Berrison
	James brachholz

13.4 WorkItems Awaiting Manual Release Report

The WorkItems Awaiting Manual Release Report provides a summary of all WorkItems currently waiting to be manually released, and how long each of the items has been held at the current location.

<div>WorkItems Awaiting Manual Release Report Sorted by WorkItem Number 8/3/99</div>			
Item Number	Holding Node	Task Received Date	Waiting Time

13.5 Task by Workflow Report

The Tasks by Workflow Report provides a summary of all WorkItems organized by the actual workflow for the protocol.

Tasks by Workflow Report 8/10/99			
Task Name:	de2	Type:	User
Distribution Type:	Fetch Queue		
Avg. Min.:	30.00	Items:	2.00
		Load (Min):	60.00
Release state(s):			
Description:			
Task Name:	doc type?	Type:	Decision
Distribution Type:	Manual Distribution		
Avg. Min.:		Items:	0.00
		Load (Min):	
Release state(s):			

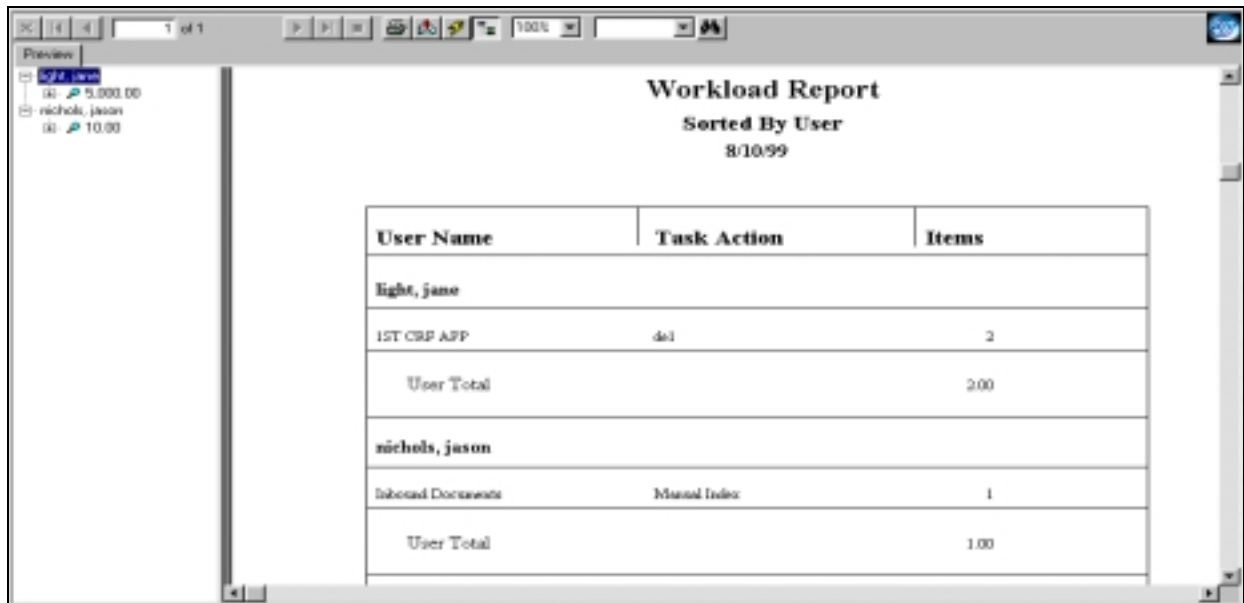
13.6 Average Task Time Report

The Average Task Time Report shows the average number of minutes taken to perform each task in the workflow.

Average Task Time Report Sorted by Task Type 8/3/99		
Task Type	Task Action	Avg. Min. to Perform
S Start	Start	10.00
T Stop	Stop	
U User	Sample Review	
V Device	Clean	
S Start	New Batches In	
V Device	Auto Index	
V Device	Validate	
D Decision	Filter Empty Batches	30.00
U User	Manual Index	

13.7 Workload by Users Report

The Workload by User Report summarizes the task actions and items completed by each system user.



User Name	Task Action	Items
light, jane		
1ST CRP APP	del	2
User Total		2.00
nichols, jason		
Inbound Documents	Manual Index	1
User Total		1.00

13.8 Users List Report

The User List Report lists the names of all system users and the last time that each user was logged in to the system.

8/10/99		User List Report		
<u>UserID</u>	<u>Lastname</u>	<u>Firstname</u>	<u>Login Count</u>	<u>Last Login</u>
Jones	Jones	Default	2.00	8/4/99
Davis	Davis	lauren	18.00	8/10/99
Smith	Smith	jane	30.00	8/6/99
Marks	Marks	jason	22.00	8/10/99
Berner	Berner	chris	0.00	
Towns	Towns	philpp	30.00	8/10/99
Fields	Fields	Donna	2.00	8/10/99

13.9 Workload by Device Report

The Workload by Device Report summarizes the items and tasks handled by each device in the workflow.

Workload Report		
Sorted By Device		
8/3/99		
Device Name	Task Action	Items
Device Total		

13.10 Custom Reports

EDMS allows for customized reports, which can be produced to report on any of the elements within the item history. An example of some of the data elements that could be captured in a customized report would be:

- Number of Assigned Actions
- Number of Incomplete Actions
- Number of Overdue Actions
- Number of Completed Actions

14. Help Section

There are many different methods of getting help on the usage of EDMS.

14.1 On-line Help

The User Interface has an online help file that can be accessed by the users from the Help menu.

14.2 User Manuals

User manuals are available for those users who prefer a physical manual instead of the online manual. The electronic version of all EDMS manuals, the SOP, and the EDMS Procedural Desk Reference Guide will be available on the HQ USACE and HECSA Intranet site at the following URL: <http://www.hq.usace.army.mil/hqfirst.htm>

14.3 Functional Area EDMS Administrators

Every Directorate and separate Office has a Functional Area EDMS Administrator (FAEA) who is available to either answer questions or walk users through the process of a function. The FAEA should have an understanding of how the Directorate or separate Office does its business and will be required to have a higher-level understanding of the EDMS capabilities and the ability to perform more functions than the users

14.4 Help Desk

The USACE Help Desk will be taking over the day-to-day responsibility of supporting EDMS. All users "How do I" questions will be reported to the Help Desk staff who will respond to the call as they currently do with all other software application support.

14.5 Reporting Problems

The Help Desk will be responsible for trouble-shooting all EDMS problems. The Help Desk shall report any EDMS system bugs to the EDMS System Administrator who will be reporting to the appropriate USI department. The Help Desk is responsible for making a follow-up call to the user who reported the problem so that he/she is aware of the fix or solution.

14.6 Training

Training will be available for new System Administrators and general users on an as needed basis. Users must coordinate this request through their directorate/separate office training coordinator.

15. Appendices

15.1 Document / Folder Types & Fields

The following chart lists the Folder and Document Types to be used while indexing folders and documents in the EDMS system.

<u>Folder Types</u>	<u>Document Types</u>
1. Executive Office	1. Memo/Letter/Form
2. Civil Works	2. Briefing/Training Material
3. Real Estate	3. Reg/Guidance
4. Research & Development	4. Contract
5. Military Programs	5. Personnel/Manpower
6. Corporate Information	6. Map
7. Resource Management	7. Design & Specification
8. Human Resources	8. Audio Visual/Graphic
9. Logistics	9. Report
10. Legal	10. Study
11. PARC	11. Real Estate
12. Engineer IG	12. News and Publicity
13. Equal Employment Opportunity	13. Transcript / Manuscript
14. Public Affairs	14. Message/E-mail
15. Small Business	15. Budget/Financial
16. Safety	16. Legislation
17. History	17. Agreement/Charter
18. Internal Review	
19. HECSA	
20. Business Development	
21. Security, Plans, & Operations	

Below is a list of the folder and document index fields.

<u>Folder Index Fields</u>	<u>Example</u>	<u>Maximum # of Characters</u>
1. Folder Type	Civil Works	Pull-down list
2. Title	American River	240
3. Suspense Date	11/18/1999	8 Character Date Field

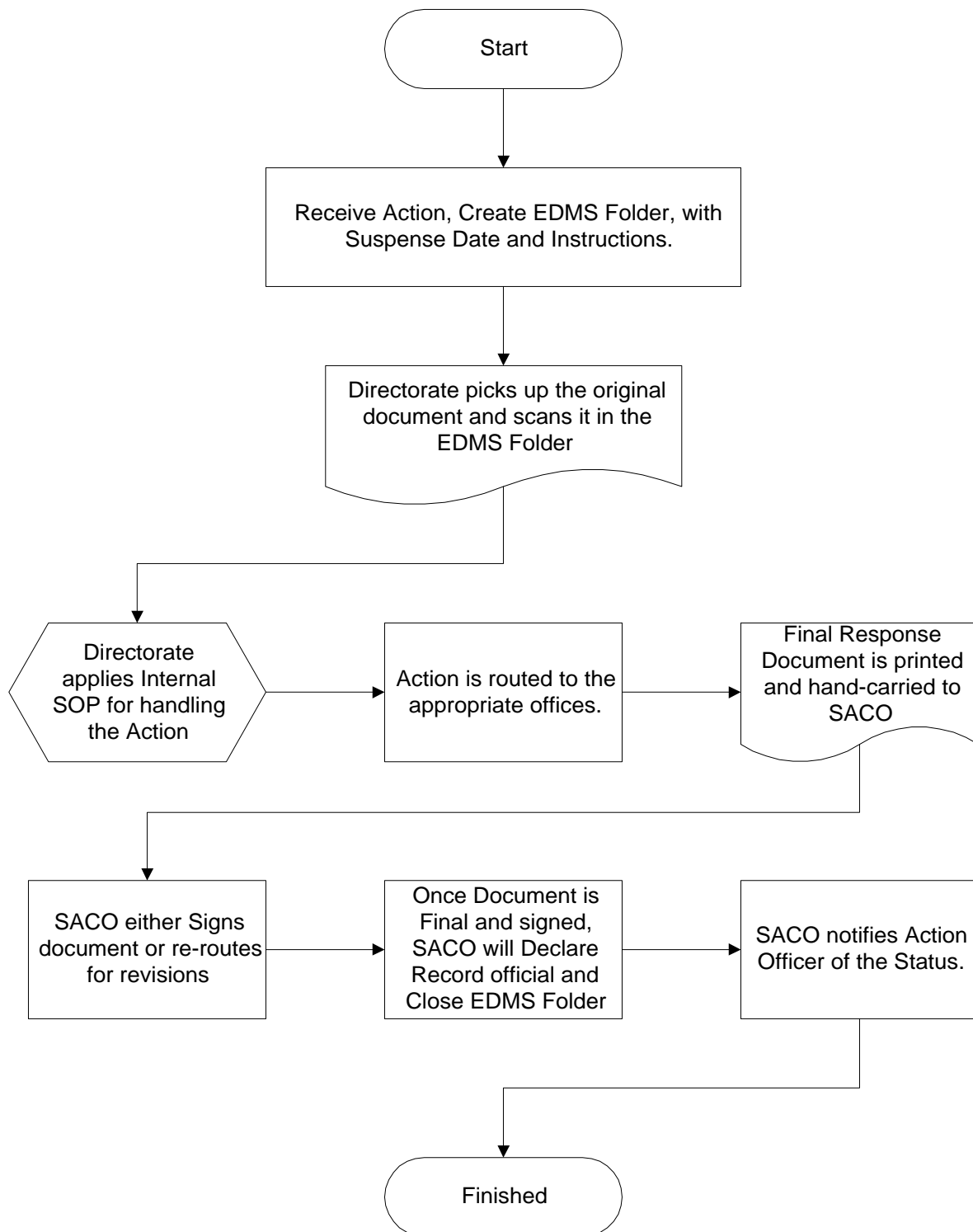
<u>Document Index Fields</u>	<u>Example</u>	<u>Maximum # of Characters</u>
1. Document Type	Memo/Letter/Forms	Pull-down list
2. Subject	American River	240
3. Document Date	11/18/1999	8 Character Date Field
4. Office Symbol	CECW-ZD	12
5. Author/Originator	John Dow	50
6. Document Identifier	XYZ123	50
7. Marks Number	1130-2-305c	20

15.2 Special E-mail Rules

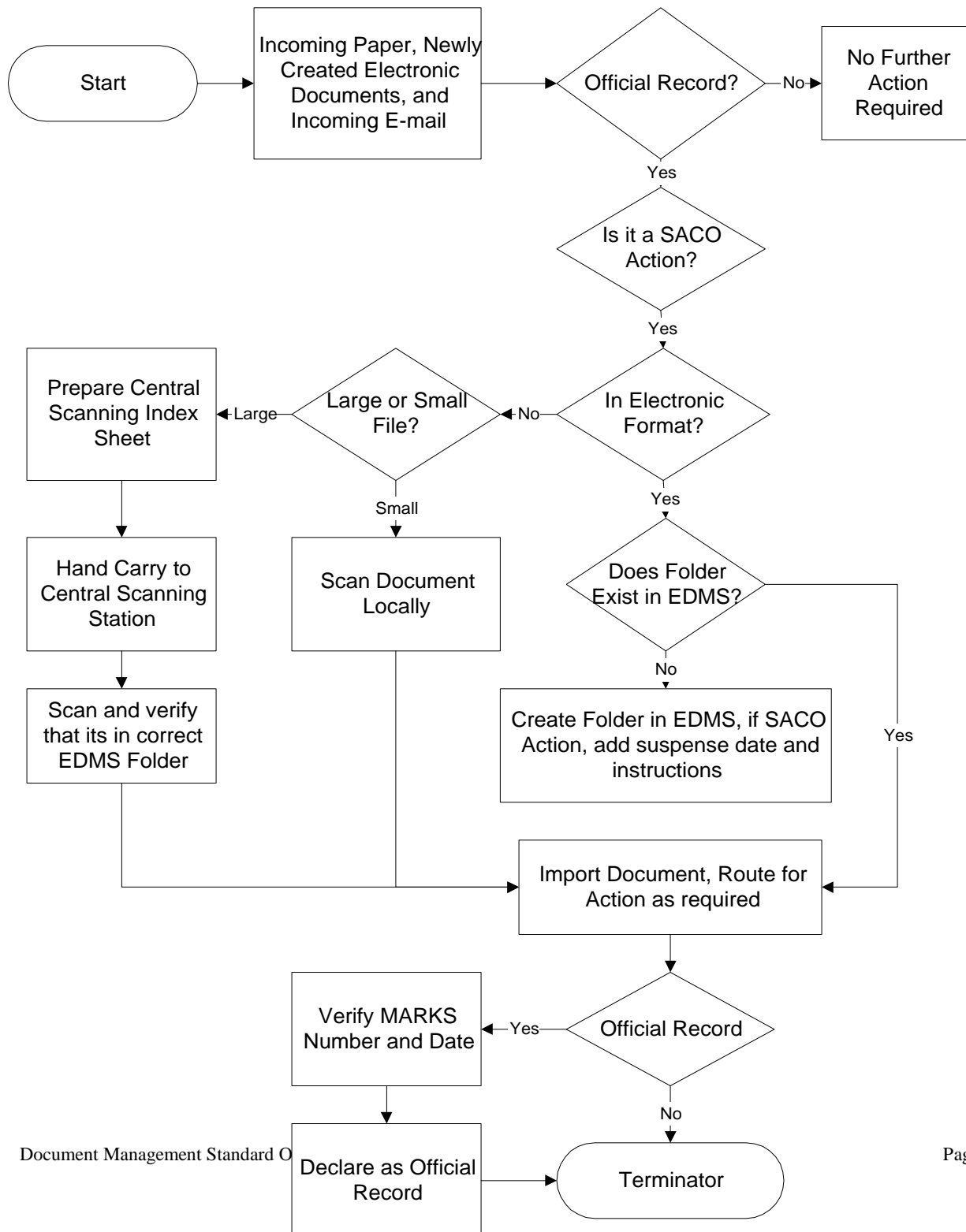
Both senders and receivers of e-mail have the responsibility to place their e-mails into the appropriate EDMS folder, assign a MARKS number and declare the e-mail an official record. The e-mail header is also a record and will be kept by the system as part of the message (the header contains important information about the e-mail such as Author, Date, Subject, Recipients, etc. Following are suggested business rules for storage of e-mails within EDMS.

- If the sender is an EDMS user, the sender will determine whether the e-mail and its attachment(s) are official records. If so, the sender enters the e-mail and attachment(s) into the appropriate EDMS folder, verifies the MARKS number, and then declares the message and the attachments an official record.
- If the recipient is an EDMS user, the recipient will make a determination whether the e-mail is an official record. If so, save the received message in an EDMS folder. If not, the recipient will delete the message. Since the header information for the received e-mail is different from the sent e-mail, the received e-mail may also be an official record.
- If the sender is not an EDMS user, the recipient will make the determination whether the e-mail is an official record or not, depending on the content of the e-mail.
- If there is more than one recipient in the TO: field, each individual recipient will determine whether to enter the e-mail into EDMS depending on the content of the e-mail.
- Emails such as jokes, party invitations, carpool information, and other miscellaneous e-mails are not official records and should not be entered into EDMS.

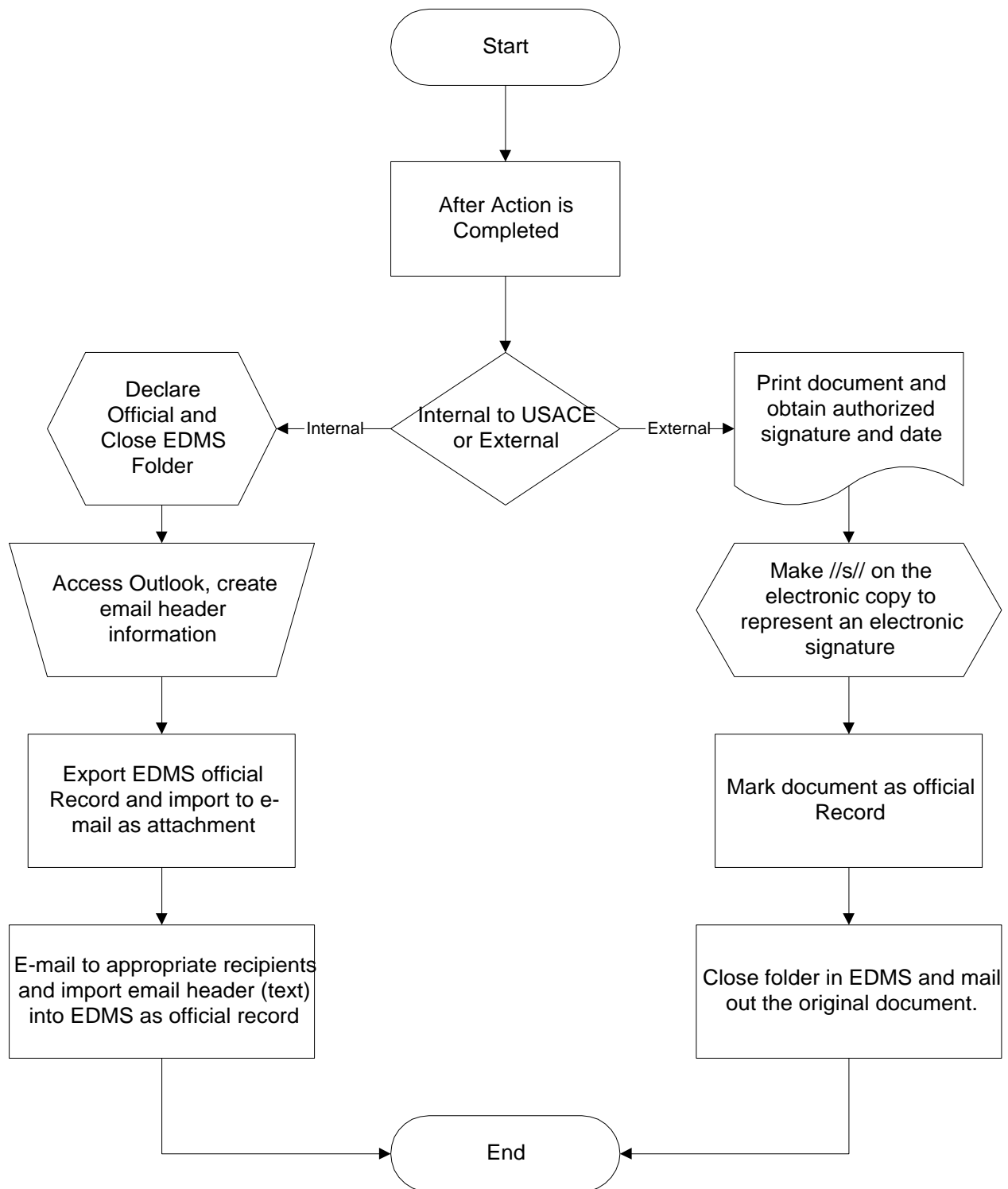
15.3 SACO Workflow



15.4 Procedures for Incoming & Internal Documents including E-mail – Workflow



15.5 Releasing Outgoing mail from EDMS including E-mail – Workflow



15.6 Central Scanning Document Index Sheet

Folder Type: _____ (Number ONLY, See List Below – Left)

Title: _____

Document Type: _____ (Number ONLY, See List Below – Right)

Subject: _____

Document Date: _____ / _____ / _____

Office Symbol: _____

Author/Originator: _____

Security: Yes / No (Circle ONLY one)

Document Identifier: _____

MARKS Number: _____

<u>Folder Types</u>	
01	Executive Office
02	Civil Works
03	Real Estate
04	Research & Development
05	Military Programs
06	Corporate Information
07	Resource Management
08	Human Resources
09	Logistics
10	Legal
11	PARC
12	Engineer IG
13	Equal Employment Opportunity
14	Public Affairs
15	Small Business
16	Safety
17	History
18	Internal Review
19	HECSA
20	Business Development
21	Security, Plans & Operations

<u>Document Types</u>	
01	Memo / Letter / Form
02	Briefing / Training Material
03	Regulation / Guidance
04	Contract
05	Personnel / Manpower
06	Map
07	Design & Specification
08	Audio Visual / Graphic
09	Reports
10	Study
11	Real Estate
12	News and Publicity
13	Transcript / Manuscript
14	Message / E-mail
15	Budget / Financial
16	Legislation
17	Agreement / Charter

15.7 Staffing Example of Restricted Actions to Non-Restricted Application

- Import the action to the EDMS restricted application and store in a folder in the restricted application.
- Check out the folder or document from the restricted application and enter a copy into the general application with different document title.
- Prepare a cover sheet with instructions that, “this is sensitive information and should not be disclosed to government personnel without a specific need to know”. Those individuals with a need to know will be listed.
- Ad-hoc route the case folder or document to specific individuals or groups for action.
- Continue staffing, receive responses, and file sensitive information back in the restricted application. The restricted application should have the entire file, both restricted and non-restricted documents.
- Remove any sensitive information from the non-restricted application by either denying permission to view the sensitive documents or requesting the FAEA to remove them from the non-restricted application.

15.8 Example of How to Respond to a FOIA Request

- FOIA Officer creates folder type entitled “FOIA Request *subject* from *requestor*.”
- FOIA Officer routes folder to Directorate or office for response.
- Action Officer collects all files requested or pertinent to the request and provides those files [hard-copy or electronic files are collected and returned to Legal office for guidance]
- Legal Office determines which information can be released.
- Legal Office prepares the hard-copy documents for release.
- Hard-copy documents that can be released are scanned into EDMS as a record of HQ USACE response to the FOIA request.

15.9 Example of Coordinating a Document for Signature

- Action Officer prepares the action in an EDMS folder
- Ad-hoc routes the action folder to specific individuals or groups for action, etc.
- Action Officer continues staffing, receives responses, prepares revised document incorporating comments
- Action Officer sends folder with approval document and all backup documents to the approval authority using an Ad-Hoc assignment list.

16. Glossary

This Glossary lists and defines the terms and Acronyms used in this SOP.

EDMS Application

A collection of Folder and document types used to manage database information for a work process, such as accounting, legal, or human resources.

Archive

The process of placing a document in a long-term storage area for documents and images not regularly used.

Creating a Folder

The process of making an EDMS folder or document.

Document

A file comprised of one or more pages stored on and accessed by a computer, such as text files or scanned images.

Deleting

The process of destroying a document or folder.

E-mail

Sending or receiving information by transmitting it electronically via an electronic mail address

Electronic Document Management System (EDMS)

An electronic system that allows users to share information among all users, route organizational documents, and provide a seamless file retention and disposal process.

Working Documents

Working Documents are documents that are prepared to the extent that they will be shared with others or placed in a file and may become an official record. Working documents, in this context, are normally in electronic format.

File Collection

A listing of MARKS numbers used within a particular directorate/office.

Folder

A virtual container for storing different types of documents.

Hard-Copy Documents

Paper documents that do not have an electronic version such as incoming mail.

Importing

The process of inputting documents into EDMS in their native file formats so that they can be viewed in the Imagination view or edited in their native application.

Interactive Scanning

Interactive scanning is the process of bringing one document at a time into EDMS and immediately indexing it. (The document may consist of several scanned-in images).

Layers

Document layers are the graphical or text overlay of documents, which contain annotations and layers of revision.

MARKS

(AR 25-400-2, The Modern Army Recordkeeping System (MARKS). The Army's approved, legal records retention schedule. Used to organize records from the point of creation, assign disposition instructions, and provide guidance on transferring records.

Non-Restricted Application

An open system used for the collection of folder and document types to manage database information for a work process. System is available for all HQ USACE and HECSA users to share and route folders and WorkItems.

Official Records

A designation made to documents that have been assigned to a file plan with an official date. Once a document is an official record, it can not be modified, annotated, or checked out for revisions. But, it can be copied for reuse purposes to create a new document, and saved as a new official record.

Restricted Application

Application built for users requiring a secure environment. Only authorized users have access to and can search for folders in the restricted application

Revisions

The process of editing and making changes to documents.

Routing

Routing is the transfer of documents or WorkItems (folders) from one individual or group to others who need to review, edit, comment, or approve the data contained in the WorkItem.

Scanning

The process of using an electronic scans device to transform a hard-copy document into a bit stream that can be stored as an electronic image.

Suspense Date

A deadline or a due date used for folders in EDMS

Soft-Scanning

Soft Scanning is the process of printing an electronic file into EDMS as an image from any Windows compatible Application. This process allows users to attach the image of a file with not further changes allowed since the file is printed in EDMS as a TIFF image.

Vital Records

Records essential to the continued functioning or reconstitution of an organization during and after an emergency and essential to protecting the legal and financial rights and interests of that organization and individuals directly affected by its activities.

WorkItem

EMDS folder that contains documents of related subjects and is routed for work.

Workflow

The process of routing documents electronically from one task to the next. Workflow allows the routing of WorkItems (folders) throughout the HQ and HECSA via a procedural or Ad-Hoc process. The Procedural workflow defines standard routes for regularly occurring work. Ad-Hoc workflow allows a user to create Assignment Lists for specific routing of individual Work Items.

17. Index

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